



Audit Database Manual

08/15/08

Audit Database Manual

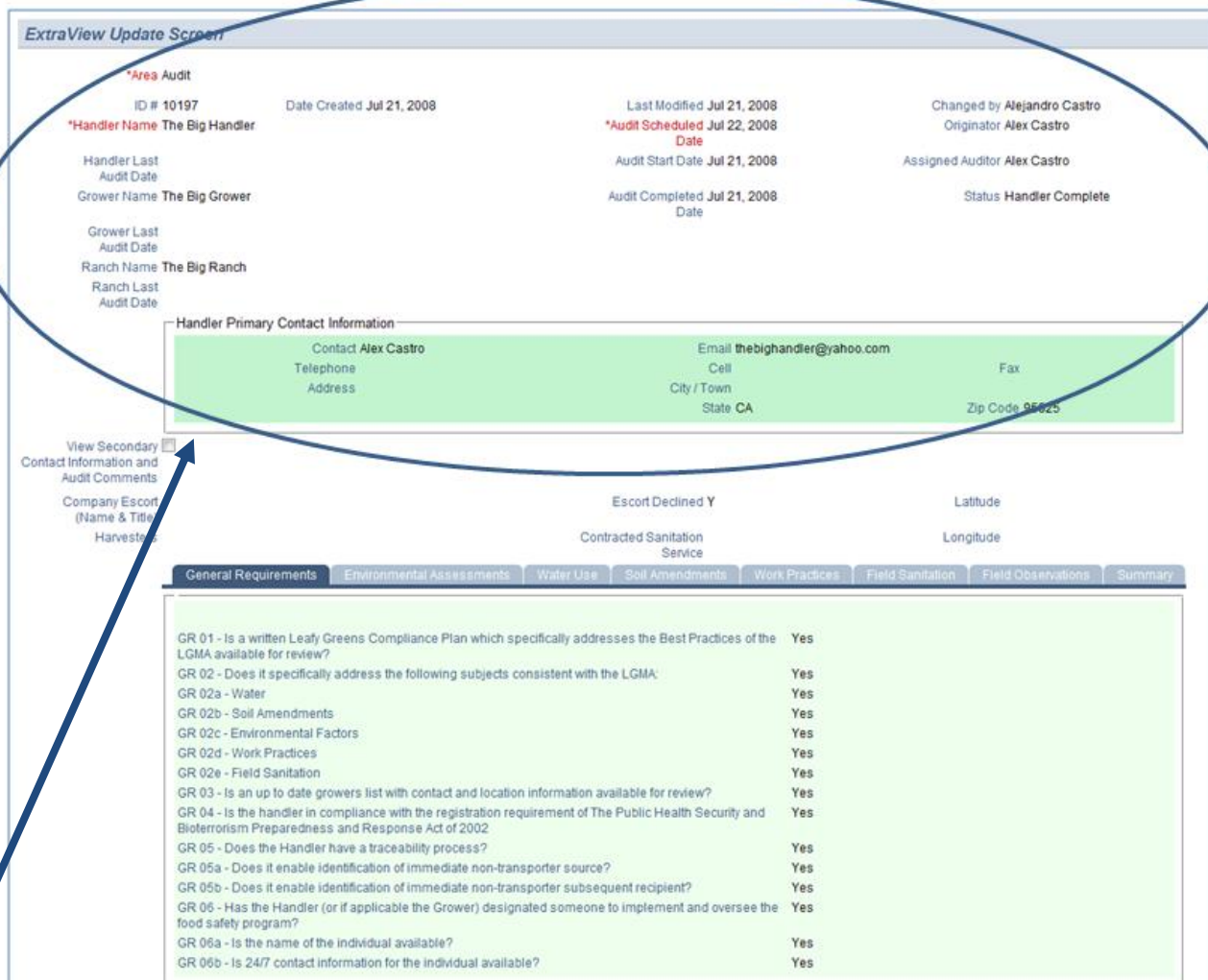
Overview

The new LGMA Audit Database:

- Automates the process from initial audit to submission of corrective actions to closing out the audit
- Allows handlers access to all of their audit information in one place
- Protects handler confidentiality
- Improves program reporting and transparency

The Audit

- CDFA auditors will enter all audit findings into the online database – which is set up in accordance with the LGMA-approved checklist
 - When the audit is completed, the handler and the LGMA are notified via email



ExtraView Update Screen

***Area Audit**

ID # 10197 Date Created Jul 21, 2008 Last Modified Jul 21, 2008 Changed by Alejandro Castro

***Handler Name** The Big Handler ***Audit Scheduled** Jul 22, 2008 Originator Alex Castro

Handler Last Audit Start Date Jul 21, 2008 Assigned Auditor Alex Castro

Audit Date Audit Completed Jul 21, 2008 Status Handler Complete

Grower Name The Big Grower Date

Grower Last Audit Date

Ranch Name The Big Ranch

Ranch Last Audit Date

Handler Primary Contact Information

Contact Alex Castro Email thebighandler@yahoo.com Fax

Telephone Cell City / Town State CA Zip Code 95025

Address

☐ View Secondary Contact Information and Audit Comments

Company Escort (Name & Title) Escort Declined Y Latitude

Harvesters Contracted Sanitation Service Longitude

General Requirements	Environmental Assessments	Water Use	Soil Amendments	Work Practices	Field Sanitation	Field Observations	Summary
GR 01 - Is a written Leafy Greens Compliance Plan which specifically addresses the Best Practices of the LGMA available for review?							Yes
GR 02 - Does it specifically address the following subjects consistent with the LGMA:							Yes
GR 02a - Water							Yes
GR 02b - Soil Amendments							Yes
GR 02c - Environmental Factors							Yes
GR 02d - Work Practices							Yes
GR 02e - Field Sanitation							Yes
GR 03 - Is an up to date growers list with contact and location information available for review?							Yes
GR 04 - Is the handler in compliance with the registration requirement of The Public Health Security and Bioterrorism Preparedness and Response Act of 2002							Yes
GR 05 - Does the Handler have a traceability process?							Yes
GR 05a - Does it enable identification of immediate non-transporter source?							Yes
GR 05b - Does it enable identification of immediate non-transporter subsequent recipient?							Yes
GR 06 - Has the Handler (or if applicable the Grower) designated someone to implement and oversee the food safety program?							Yes
GR 06a - Is the name of the individual available?							Yes
GR 06b - Is 24/7 contact information for the individual available?							Yes

The auditor enters all of the basic information about the audit – including the date of the audit, the grower and ranch audited, the name of the auditor, etc. – in this section

Audit Database Manual

The Audit (continued)

ExtraView Update Screen

***Area Audit**

ID # 10197 Date Created Jul 21, 2008 Last Modified Jul 21, 2008 Changed by Alejandro Castro

***Handler Name** The Big Handler ***Audit Scheduled** Jul 22, 2008 Originator Alex Castro

Handler Last Audit Date Audit Start Date Jul 21, 2008 Assigned Auditor Alex Castro

Grower Name The Big Grower Audit Completed Jul 21, 2008 Status Handler Complete

Grower Last Audit Date Date

Ranch Name The Big Ranch

Ranch Last Audit Date

Handler Primary Contact Information

Contact Alex Castro	Email thebighandler@yahoo.com	Fax
Telephone	Cell	
Address	City / Town	
	State CA	Zip Code 95825

View Secondary ☐ Contact Information and Audit Comments

Company Escort (Name & Title) Escort Declined Y Latitude

Harvesters Contracted Sanitation Service Longitude

General Requirements Environmental Assessments Water Use Soil Amendments Work Practices Field Sanitation Field Observations Summary

GR 01 - Is a written Leafy Greens Compliance Plan which specifically addresses the Best Practices of the LGMA available for review?	Yes
GR 02 - Does it specifically address the following subjects consistent with the LGMA:	Yes
GR 02a - Water	Yes
GR 02b - Soil Amendments	Yes
GR 02c - Environmental Factors	Yes
GR 02d - Work Practices	Yes
GR 02e - Field Sanitation	Yes
GR 03 - Is an up to date growers list with contact and location information available for review?	Yes
GR 04 - Is the handler in compliance with the registration requirement of The Public Health Security and Bioterrorism Preparedness and Response Act of 2002	Yes
GR 05 - Does the Handler have a traceability process?	Yes
GR 05a - Does it enable identification of immediate non-transporter source?	Yes
GR 05b - Does it enable identification of immediate non-transporter subsequent recipient?	Yes
GR 06 - Has the Handler (or if applicable the Grower) designated someone to implement and oversee the food safety program?	Yes
GR 06a - Is the name of the individual available?	Yes
GR 06b - Is 24/7 contact information for the individual available?	Yes

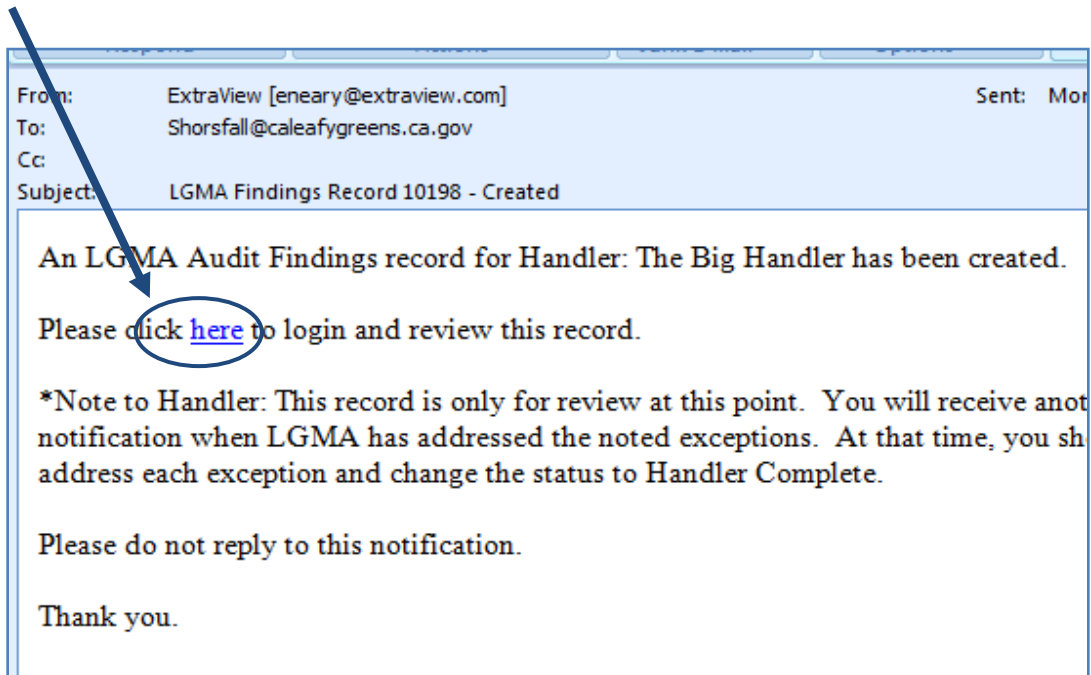
The auditor enters the audit result for each item on the LGMA Audit checklist in this section

Each section of the metrics has its own tabbed section (general requirements, water use, etc.)

Audit Database Manual

Notification

- When the audit is completed, the Handler and the LGMA are notified via email
- By clicking on the link in the email, the handler can log into the database and review the results of the audit – however, at this point, no corrective actions can or should be entered



Logging In

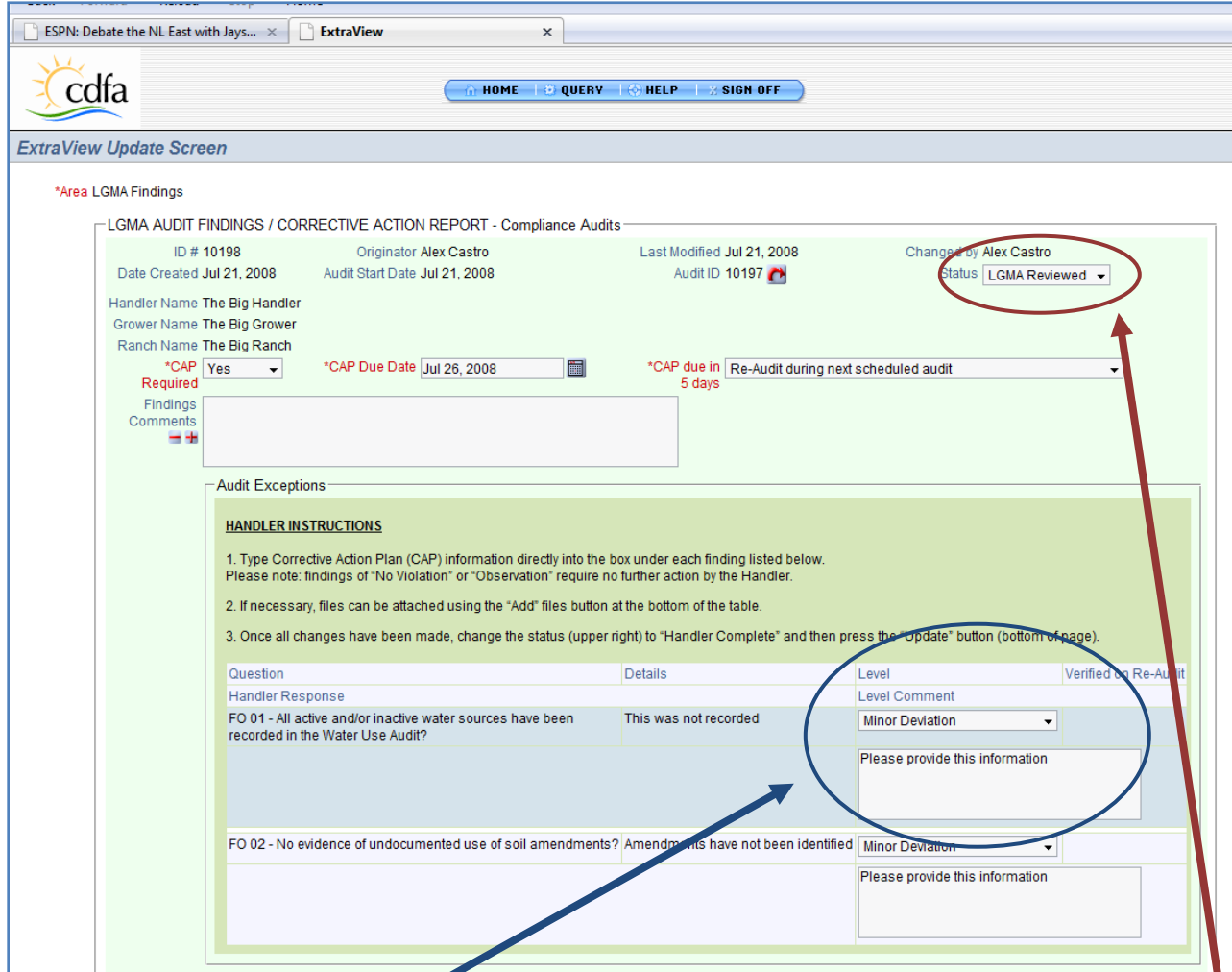
You can log into the system by clicking the link in your notification email (above) or by going directly to the following web address: <http://cdfalgma.extraview.net/cdfalgma/ExtraView>

- Each handler has been assigned a user name and password
- You should change your password when you access the database for the first time
- Protecting your user name and password is your way of protecting the confidentiality of your information

ExtraView
Your Process. Your Workflow.



LGMA Review



ESPEN: Debate the NL East with Jays... ExtraView

cdfa HOME QUERY HELP SIGN OFF

ExtraView Update Screen

*Area LGMA Findings

LGMA AUDIT FINDINGS / CORRECTIVE ACTION REPORT - Compliance Audits

ID # 10198 Originator Alex Castro Last Modified Jul 21, 2008 Changed by Alex Castro
Date Created Jul 21, 2008 Audit Start Date Jul 21, 2008 Audit ID 10197 Status **LGMA Reviewed**

Handler Name The Big Handler
Grower Name The Big Grower
Ranch Name The Big Ranch

*CAP Required Yes *CAP Due Date Jul 26, 2008 *CAP due in 5 days Re-Audit during next scheduled audit

Findings Comments

Audit Exceptions

HANDLER INSTRUCTIONS

1. Type Corrective Action Plan (CAP) information directly into the box under each finding listed below. Please note: findings of "No Violation" or "Observation" require no further action by the Handler.
2. If necessary, files can be attached using the "Add" files button at the bottom of the table.
3. Once all changes have been made, change the status (upper right) to "Handler Complete" and then press the "Update" button (bottom of page).

Question	Details	Level	Verified on Re-Audit
Handler Response		Level Comment	
FO 01 - All active and/or inactive water sources have been recorded in the Water Use Audit?	This was not recorded	Minor Deviation	
		Please provide this information	
FO 02 - No evidence of undocumented use of soil amendments?	Amendments have not been identified	Minor Deviation	
		Please provide this information	

The LGMA Staff reviews the audit report in the database and assigns citation levels (minor deviation, major deviation, etc.) for any findings. Staff can also add comments on any individual finding

Once the LGMA has completed assigning citation levels (if any), the status is changed to LGMA Reviewed and the Handler is again notified – this is when the handler's corrective action process begins

Corrective Actions

- Once the LGMA review of the audit is complete, the Handler is again notified via email
- If there are no findings above minor infractions cited, no action is required and the audit will be closed
- If there are findings that require a Corrective Action Plan (CAP), that information should now be entered into the database
- After logging into the system, the Handler enters Corrective Action Information into this page of the database

ExtraView Update Screen

***Area LGMA Findings**

LGMA AUDIT FINDINGS / CORRECTIVE ACTION REPORT - Compliance Audits

ID # 10198 Originator Alex Castro Last Modified Jul 21, 2008 Changed by Alex Castro
 Date Created Jul 21, 2008 Audit Start Date Jul 21, 2008 Audit ID 10197 Status LGMA Reviewed

Handler Name The Big Handler
 Grower Name The Big Grower
 Ranch Name The Big Ranch

*CAP Yes *CAP Due Date Jul 26, 2008 *CAP due in Re-Audit during next scheduled audit
 Required 5 days

Findings
 Comments

Audit Exceptions

HANDLER INSTRUCTIONS

1. Type Corrective Action Plan (CAP) information directly into the box under each finding listed below. Please note: findings of "No Violation" or "Observation" require no further action by the Handler.
2. If necessary, files can be attached using the "Add" files button at the bottom of the table.
3. Once all changes have been made, change the status (upper right) to "Handler Complete" and then press the "Update" button (bottom of page).

Question	Details	Level	Verified on Re-Audit
Handler Response		Level Comment	
FO 01 - All active and/or inactive water sources have been recorded in the Water Use Audit?	This was not recorded	Minor Deviation	
		Please provide this information	
FO 02 - No evidence of undocumented use of soil amendments?	Amendments have not been identified	Minor Deviation	
		Please provide this information	

STATUS TRANSITION HISTORY

View History ☐

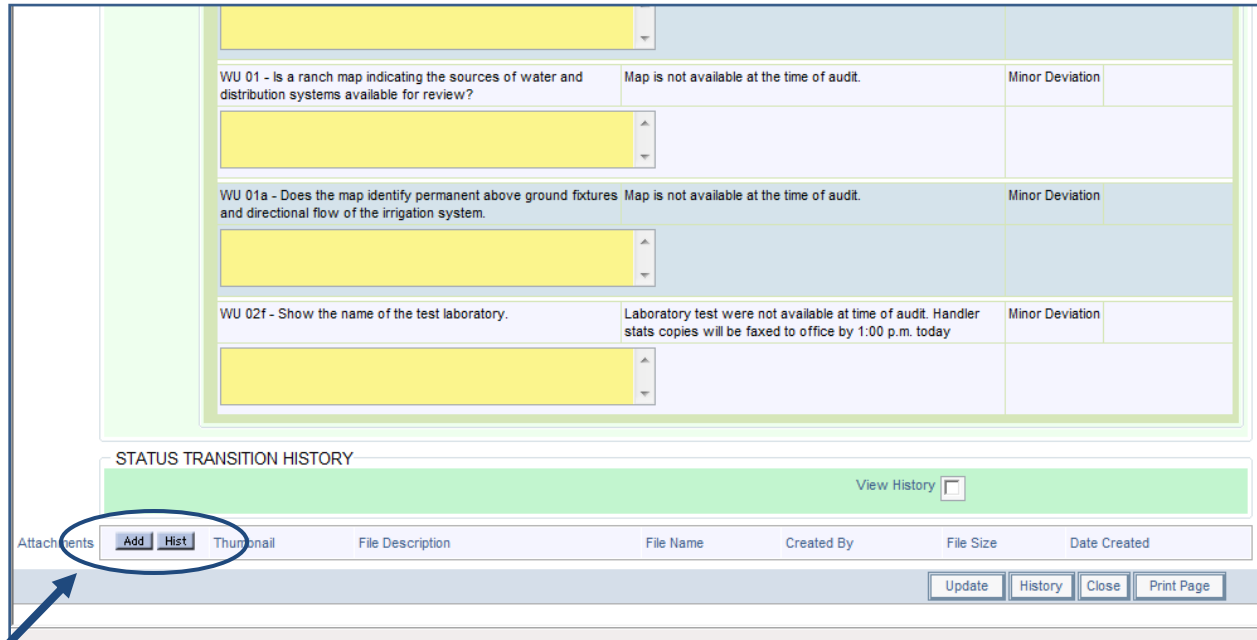
Attachments

Add	View	Thumbnail	File Description	File Name	Created By	File Size	Date Created
			This is the CAP you requested	test.doc	Alejandro Castro	1846272	Jul 21, 2008

This section indicates whether or not a Corrective Action Plan (CAP) is required and, if so, when it is due

The handler should enter the corrective action information into the text box directly below the specific finding being addressed. There is a text box for each finding.

Corrective Actions (continued)



WU 01 - Is a ranch map indicating the sources of water and distribution systems available for review?	Map is not available at the time of audit.	Minor Deviation
WU 01a - Does the map identify permanent above ground fixtures and directional flow of the irrigation system.	Map is not available at the time of audit.	Minor Deviation
WU 02f - Show the name of the test laboratory.	Laboratory test were not available at time of audit. Handler stats copies will be faxed to office by 1:00 p.m. today	Minor Deviation

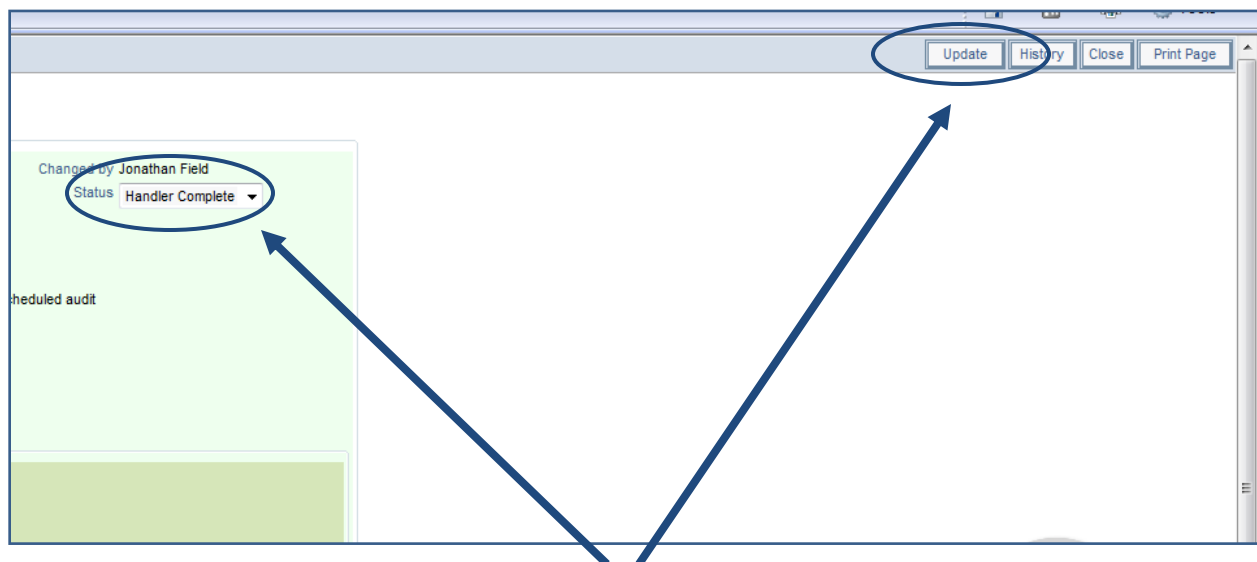
STATUS TRANSITION HISTORY

View History ☐

Attachments **Add** **Hist** Thumbnail File Description File Name Created By File Size Date Created

Update History Close Print Page

Files can also be attached and submitted using the Attachments button at the bottom of the page. All commonly-used file types are acceptable, including Word and Excel documents, PDF files, and others. Multiple files can be added one at a time using the “Add” button.



Changed by Jonathan Field

Status **Handler Complete**

Scheduled audit

Update History Close Print Page

In order to submit Corrective Actions, the Handler must change the status to “Handler Complete” AND click the Update button



Audit Database Manual

Closing the Audit

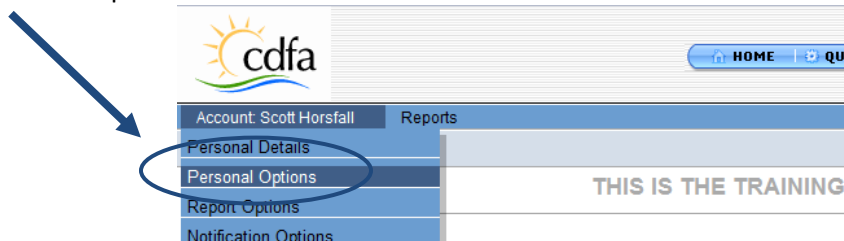
- LGMA reviews handler's corrective actions and has two options: accepting the corrective actions and notifying CDFA, or requesting more information from the handler
- If LGMA needs more information or clarification, comments are added and the handler is notified via email. Additional information can be entered into the text boxes or attached in a file.
- Handler again changes status to Handler Complete and hits the Update button to notify LGMA
- If the LGMA considers corrective actions to be complete, the audit is closed
 - Handler is notified that the audit has been closed – no further changes can be made by the handler
 - CDFA is notified, and a follow up audit (if required) is scheduled
- Upon successful completion of any follow up audits, the original audit is closed and locked

FAQs – How to Change Your Password

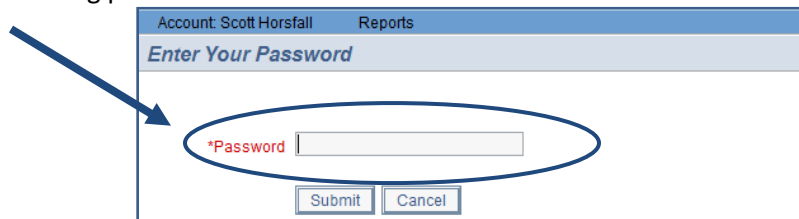
1. Sign into the system using your existing user name and password
2. Click on “Home”
3. Click on “Account: user name”



4. Select “Personal Options”



5. Enter your existing password and click the “Submit” button

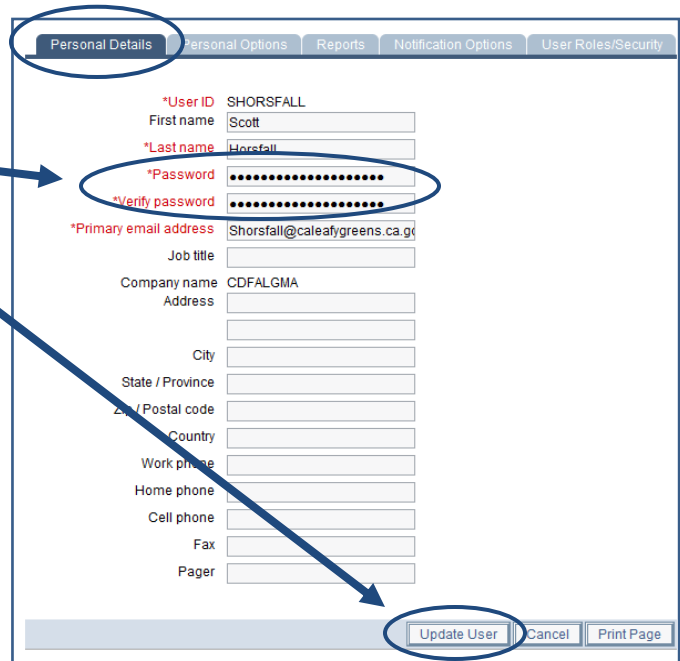


6. Click on the Personal details tab

7. Enter a new password in the password and verify password fields

8. Click on the “Update User” button

9. Your password is now reset and will be required the next time you log into the system



Personal Details | Personal Options | Reports | Notification Options | User Roles/Security

*User ID: SHORSFALL

First name: Scott

*Last name: Horsfall

*Password: [Redacted]

*Verify password: [Redacted]

*Primary email address: Shorsfall@caleafygreens.ca.gov

Job title: [Empty]

Company name: CDFALGMA

Address: [Empty]

City: [Empty]

State / Province: [Empty]

Zip / Postal code: [Empty]

Country: [Empty]

Work phone: [Empty]

Home phone: [Empty]

Cell phone: [Empty]

Fax: [Empty]

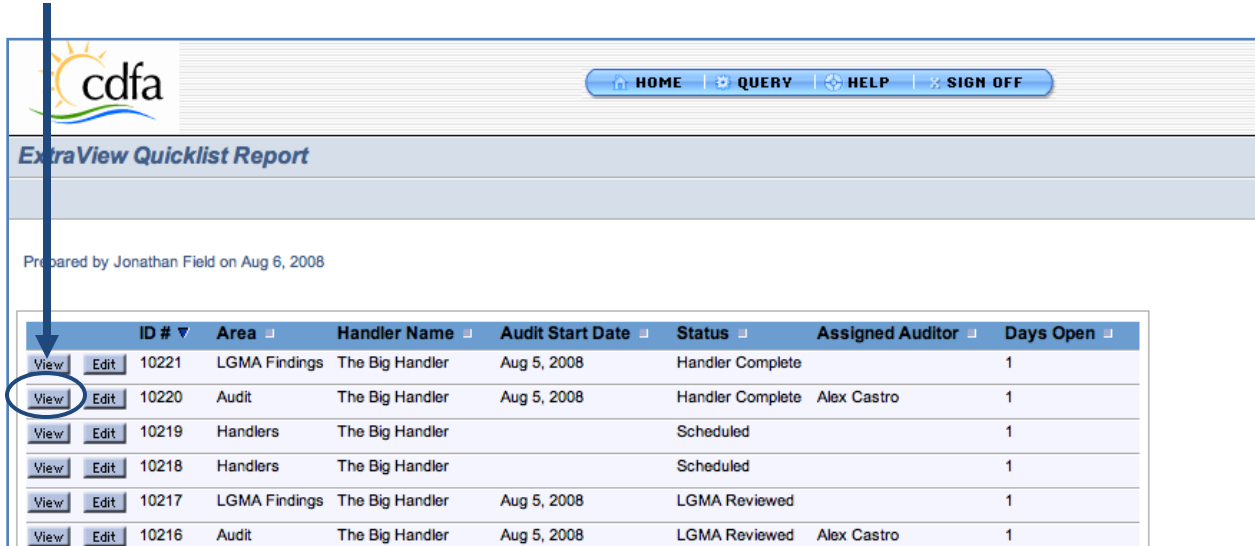
Pager: [Empty]

Update User | Cancel | Print Page

Audit Database Manual

FAQs – How to Print a Page

From the list of audits available from your home page, select “View” for the audit or report you want to print



cdfa

HOME QUERY HELP SIGN OFF

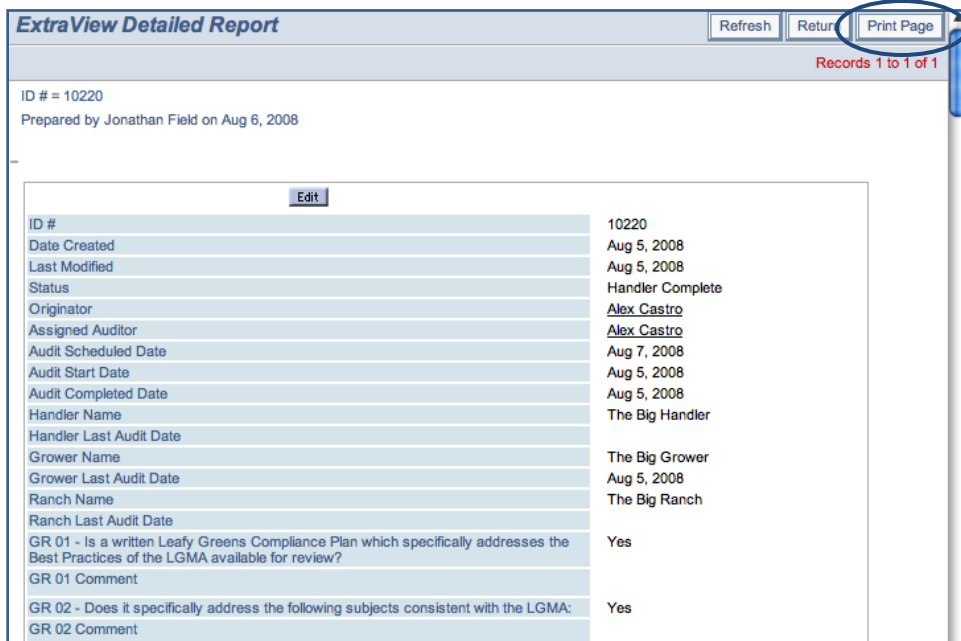
ExtraView Quicklist Report

Prepared by Jonathan Field on Aug 6, 2008

	ID # ▾	Area ▾	Handler Name ▾	Audit Start Date ▾	Status ▾	Assigned Auditor ▾	Days Open ▾
View	Edit	10221	LGMA Findings	The Big Handler	Aug 5, 2008	Handler Complete	1
View	Edit	10220	Audit	The Big Handler	Aug 5, 2008	Handler Complete Alex Castro	1
View	Edit	10219	Handlers	The Big Handler		Scheduled	1
View	Edit	10218	Handlers	The Big Handler		Scheduled	1
View	Edit	10217	LGMA Findings	The Big Handler	Aug 5, 2008	LGMA Reviewed	1
View	Edit	10216	Audit	The Big Handler	Aug 5, 2008	LGMA Reviewed Alex Castro	1

A new web page will open with the report pre-formatted to print on 8½ x 11 paper.

Clicking on the “print page” button will open your computer’s print command screen



ExtraView Detailed Report

Refresh Return **Print Page**

Records 1 to 1 of 1

ID # = 10220
Prepared by Jonathan Field on Aug 6, 2008

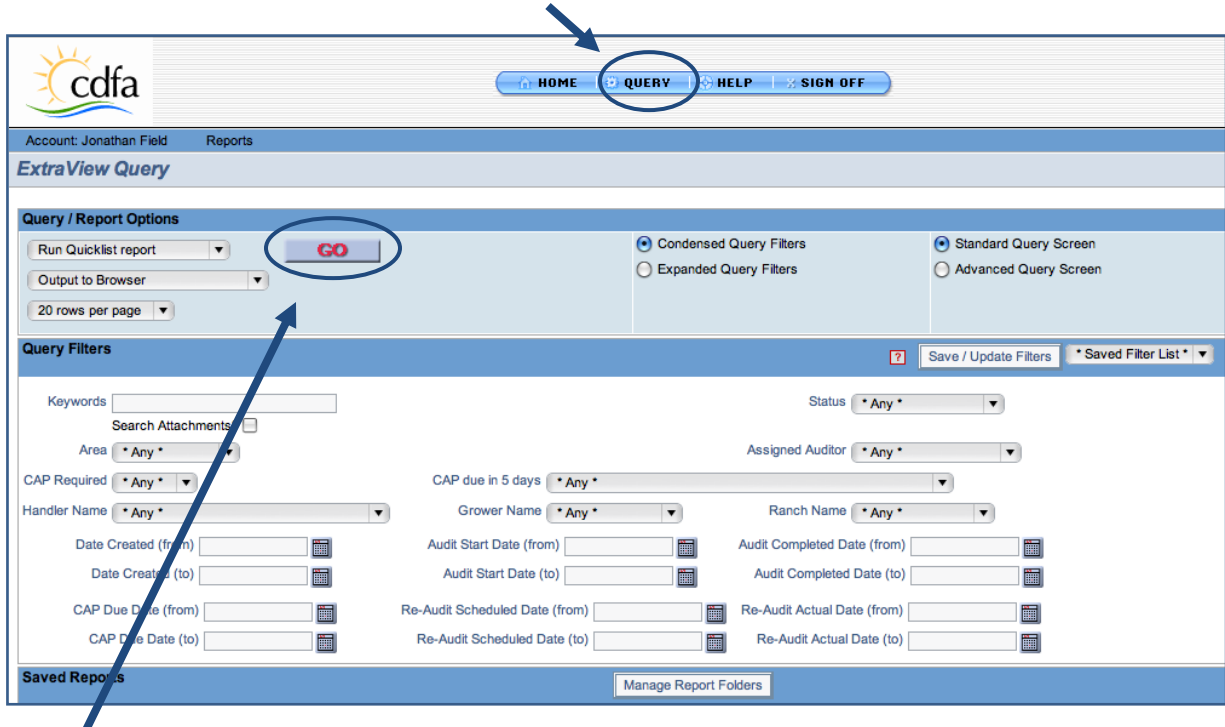
[Edit](#)

ID #	10220
Date Created	Aug 5, 2008
Last Modified	Aug 5, 2008
Status	Handler Complete
Originator	Alex Castro
Assigned Auditor	Alex Castro
Audit Scheduled Date	Aug 7, 2008
Audit Start Date	Aug 5, 2008
Audit Completed Date	Aug 5, 2008
Handler Name	The Big Handler
Handler Last Audit Date	
Grower Name	The Big Grower
Grower Last Audit Date	Aug 5, 2008
Ranch Name	The Big Ranch
Ranch Last Audit Date	
GR 01 - Is a written Leafy Greens Compliance Plan which specifically addresses the Best Practices of the LGMA available for review?	Yes
GR 01 Comment	
GR 02 - Does it specifically address the following subjects consistent with the LGMA:	Yes
GR 02 Comment	

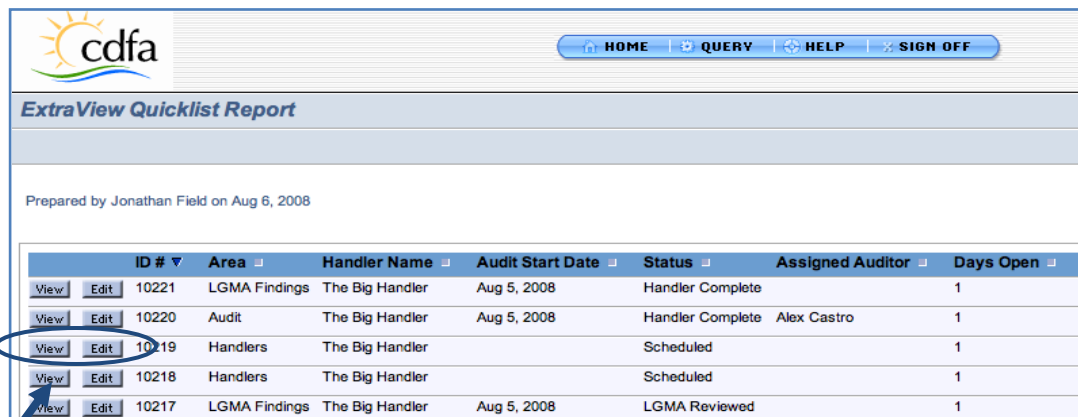
FAQs – How to Review a Past Audit Information

All of a handler's audits will be available to view at any time. To bring up a list of all reports and audits, following these steps:

1. Click on the "Query" button at the top of the screen



2. Then click on the large "GO" button - This will bring up a table showing all past audits and reports.



ID #	Area	Handler Name	Audit Start Date	Status	Assigned Auditor	Days Open
10221	LGMA Findings	The Big Handler	Aug 5, 2008	Handler Complete		1
10220	Audit	The Big Handler	Aug 5, 2008	Handler Complete	Alex Castro	1
10219	Handlers	The Big Handler		Scheduled		1
10218	Handlers	The Big Handler		Scheduled		1
10217	LGMA Findings	The Big Handler	Aug 5, 2008	LGMA Reviewed		1

3. From this table, click on 'edit' if you still have CAP information to add to a report, or click on "view" to see the full report



Audit Database Manual

Troubleshooting

Contact the LGMA staff:

By phone at 916-441-1240

By email at info@caleafygreens.ca.gov

By fax at 916-446-1063